



3738

PATENT  
Attorney Docket: 6006-019

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Palmaz, et al.  
SERIAL NO.: 09/745,304 EXAMINER: C. Miller  
FILING DATE: December 22, 2000 Group Art Unit: 3738  
TITLE: ENDOLUMINAL DEVICE EXHIBITING IMPROVED  
ENDOTHELIALIZATION AND METHOD OF MANUFACTURE THEREOF

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CERTIFICATE OF FIRST CLASS MAILING

I hereby certify that this document (along with any being referred to as being attached or enclosed) is being deposited with the U.S. Postal Service, as first class mail, postage prepaid, on this the 19th day of February 2004 in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

  
Lori Dunham

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**Communication re IDS and Change of Entity Status**

To the Honorable Commissioner:

Herewith, please find the following:

- 1) An IDS submitted for the above-captioned application (docket 6006-019);
- 2) An IDS submitted for application number 09/707,685 (docket 6006-015);
- 3) Eight references cited in item 1), but not in item 2); and
- 4) Change of Entity Status.

**Regarding the IDS**

In the Office Action dated July 15, 2003, the Examiner requested resubmission of an IDS submitted on January 30, 2002. In their response transmitted on January 15, 2004, Applicants submitted an IDS with a hand-delivery cover sheet and a postcard, both stamped as received by Technology Center 3700 on January 30, 2002. However, Applicants indicated that it would be a hardship to reconstitute the entire IDS filing with 2 boxes containing over 150 references, and

respectfully requested the Examiner conduct a search for the missing boxes of references before asking Applicants to reconstitute the entire IDS filing.

If the Examiner has not yet found the two boxes of references, Applicants have conceived of a means by which the Examiner can review all references cited in the IDS without requiring Applicants to reconstitute the entire January 30, 2002 IDS filing. The Examiner has already reviewed the references cited in the IDS of co-pending application number 09/707,685 (docket number 6006-015; hereinafter "the '685 application"). Therefore, all references cited in the '685 application should have been reviewed by the Examiner, or be available for further review by the Examiner. There is substantial overlap between the IDS cited in the '685 application and the IDS submitted in the present application. Our review of the present application indicates that only 8 references cited in the January 30, 2002 IDS for the present application were not cited in the IDS for the '685 application. Accordingly, Applicants respectfully request that the Examiner review the January 30, 2002 IDS based on her recollection or further review of the IDS for the '685 application. Applicants enclose the following references that were not cited in the '685 application:

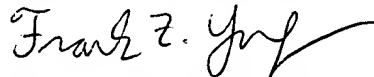
- AP1. Japan 61-88135;
- AJ2. US 5,649,951 (11/25/97 to Davidson);
- AM3. Japan 11267462 (5/10/99);
- AH9. US 6,013,855 (11/8/01 to McPherson);
- AJ9. US 5,798,042 (8/25/98 to Chu et al.);
- AK9. US 5,329,514 (7/12/94 to Eguchi et al.);
- AA10. US 5,736,463 (12/27/94 to Bak et al.); and
- AB10. US 5,158,750 (10/27/92 to Finicle).

Applicants respectfully submit that between the references cited in the IDS for the '685 application and the attached references, the Examiner has the capacity to consider all references cited in the January 30, 2002 IDS, without regard to whether or not the 2 boxes submitted by the applicant is found.

**Regarding a Change of Entity Status**

In the January 15, 2004 Response with Amendment, Applicants also petitioned for three-month extension on the response deadline, and authorized the director to deduct the extension fee from deposit account 18-2000. However, Applicants did not change Applicants' Entity Status, inadvertently and without deceptive intent. A Change of Entity Status is attached to this communication to change the Applicants' status from small entity to a large entity. Accordingly, the director is authorized to deduct the difference between what was deducted for a three-month extension for a small entity and what should have been deducted for a three-month extension for a large entity from deposit account 18-2000. This page is submitted in duplicate for that purpose. Should the Examiner require any further information or wish to discuss any aspect of this Communication, Applicants respectfully request that the Examiner contact the undersigned at the telephone number listed below.

Respectfully submitted,



Frank Z. Yang (Reg. No. 35,417)

February 19, 2004

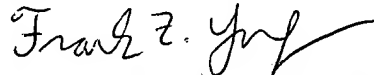
**ROSENBAUM & ASSOCIATES, P.C.**

650 Dundee Road, Suite 380  
Northbrook, IL 60062-2757  
Tel. 847-770-6000  
Fax. 847-770-6006  
E-mail: fyang@biopatentlaw.com

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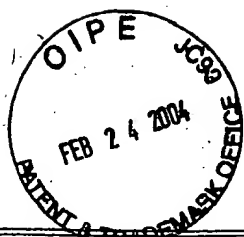
650 Dundee Road, Suite 380

Northbrook, IL 60062-2757

Tel. 847-770-6000

Fax. 847-770-6006

E-mail: fyang@biopatentlaw.com



FORM PTO - 1449 (Modified)  
List of Patents and Publications  
For Applicant's Information  
Disclosure Statement  
(Use Several Sheets if Necessary)

ATTORNEY DOCKET NO: 6006-019  
APPLICANT: Palmaz, et al.  
FILING DATE: 12/22/00  
SERIAL NO: 09/745,304  
GROUP: 3731

### U.S. PATENT DOCUMENTS

Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
	AA1	5,824,056 ✓	10/20/056	Rosenberg	623/1	606/191
	AB1	5,849,206 ✓	12/15/98	Amon, et al.	216/63	216/37
	AC1	5,858,556 ✓	1/12/99	Eckert, et al.	428/586	428/662
	AD1	5,873,904 ✓	2/23/99	Ragheb, et al.	623/1	623/11
	AE1	5,725,573 ✓	3/10/98	Dearnaley, et al.	623/2	427/2.25
	AF1	5,605,714 ✓	2/25/97	Dearnaley, et al.	427/2.24	427/2.25
	AG1	4,846,834 ✓	7/11/89	von Recum, et al.	623/11	623/66
	AH1	5,984,905 ✓	11/16/99	Dearnaley, et al.	604/265	427/2.24
	AI1	4,751,099 ✓	6/14/88	Niino, et al.	427/34	427/423
	AJ1	4,510,182 ✓	4/9/85	Cornils, et al.	427/162	427,165
	AK1	5,242,710 ✓	9/7/93	Claar, et al.	427/248	427/249

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### FOREIGN PATENT DOCUMENTS

Ref. Desig.	Document Number	Date	Country	Class	Subclass	Trans. Yes No
AL1	97/44692 ✓	11/27/97	WIPO	G02B 6/16		
AM1	98/45506 ✓	10/15/98	WIPO	C25D 7/04	B23H	
AN1	98/13537 ✓	4/2/98	WIPO	C25D 1/00	C23F 1/02	
AO1	99/23977 ✓	5/20/99	WIPO	A61F 2/06		
* AP1	61-88135 ○		Japan			

### OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

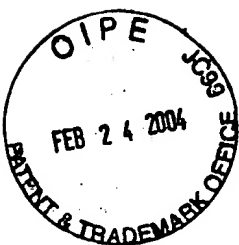
AR1 "Liquid Sources for Chemical Vapor Deposition of Group 6 Metals and Metal Nitrides" by Gordon, et al.,  
[www.techtransfer.harvard.edu/cgi-bin/TALSearch.cgi?full\\_report=1&case=3](http://www.techtransfer.harvard.edu/cgi-bin/TALSearch.cgi?full_report=1&case=3), Case Number 1709 ✓

AS1 "Fabrication of Small-Scale Coils and Bands as Photomasks on Optical Fibers for Generation of In-Fiber  
Gratings, Electromagnets as Micro-NMR Coils, Microtransformers, and Intra-Vascular Stents"  
[www.techtransfer.harvard.edu/cgi-bin/TALSearch.cgi?full\\_report=1&case=72](http://www.techtransfer.harvard.edu/cgi-bin/TALSearch.cgi?full_report=1&case=72), Case Number 1263 ✓

AT1 "Reactions of Biological Cells to Nanostructures", by Curtis, et al., AVS 46<sup>th</sup> International Symposium, Paper  
BI-WeM2 (October 27, 1999) ✓

EXAMINER DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw a line  
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Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
	AA2	5,899,935 ✓	5/4/99	Ding	623/1	623/12
	AB2	5,723,219 ✓	3/3/98	Kolluri	428/411.1	428/407
	AC2	5,811,151 ✓	9/22/98	Hendricks, et al.	427/2.24	427/2.3
	AD2	5,866,113 ✓	2/2/99	Hendricks, et al.	424/78.17	424/78.18
	AE2	5,084,151 ✓	1/28/92	Vallana	204/192.11	204/192.14
	AF2	5,477,864 ✓	12/26/95	Davidson	128/771	
	AG2	5,607,463 ✓	3/4/97	Schwartz, et al.	623/1	623/12
	AH2	5,609,629 ✓	3/1/97	Fearnott, et al.	623/1	623/11
	AI2	5,647,858 ✓	7/15/97	Davidson	604/264	
	AJ2	5,649,951 ○	7/22/97	Davidson	606/198	
	AK2	5,690,670 ✓	11/25/97	Davidson	606/198	606/191

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### FOREIGN PATENT DOCUMENTS

Ref. Desig.	Document Number	Date	Country	Class	Subclass	Trans. Yes No
AL2	WO99/62432 ✓	09.12.99	WIPO	A61F	2/06, 2/01	
AM2	WO01/55473 ✓	02.08.01	WIPO	C23C	14/00	
AN2	WO97/07257 ✓	27.02.97	WIPO	C23C	14/00	
AO2	1452370 ✓	21.03.74	Germany	C21C	37/15	
AP2	0 400 947 ✓	29.05.90	Europe	C23C	16/00	

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AR2 "Biocompatibility of Cardiac Cells on Silane-Modified Surfaces" AVS 46<sup>th</sup> International Symposium, Paper BI-WeM5 (October 27, 1999) ✓

AS2 "Biofunctionalization of Surfaces with Peptide Amphiphiles" AVS 46<sup>th</sup> International Symposium, Paper No. BI-WeM7 (October 27, 1999) ✓

AT2 "Plasma Copolymer Surfaces for Cell Culture" AVS 46<sup>th</sup> International Symposium, Paper No. Paper BI-WeM9 (October 27, 1999) ✓

EXAMINER: \_\_\_\_\_ DATE CONSIDERED: \_\_\_\_\_

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SERIAL NO: 09/745,304  
GROUP: 3731

### U.S. PATENT DOCUMENTS

Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
	AA3	5,735,896 ✓	4/7/98	Amon, et al.	623/11	623/1
	AB3	5,765,418 ✓	6/16/98	Rosenberg	72/47	72/42
	AC3	5,772,864 ✓	6/30/98	Moller, et al.	205/73	205/75
	AD3	5,782,910 ✓	7/21/98	Davidson	623/3	
	AE3	5,824,049 ✓	10/20/98	Ragheb	623/1	623/11
	AF3	5,728,158 ✓	3/17/98	Lau, et al.	623/12	606/194
	AG3	5,840,009 ✓	11/24/98	Fischell, et al.	600/3	
	AH3	5,728,908 ✓	7/21/98	Cahalan, et al.	623/1	623/11
	AI3	6,042,597 ✓	3/28/00	Kveen, et al.	606/198	623/1
	AJ3	6,071,305 ✓	6/6/00	Brown, et al.	623/1	623/12
	AK3	5,972,027 ✓	10/26/99	Johnson	623/1	623/12

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### FOREIGN PATENT DOCUMENTS

Ref. Desig.	Document Number	Date	Country	Class	Subclass	Trans. Yes No
AL3	0 442 303 ✓	25.01.91	Europe	C23C	16/26	
AM3	11267462 ○	05.10.99	Japan	B01D	59/34	
AN3	51055724 ✓	17.05.76	Japan	C22C	01/02	
AO3	WO01/53559 ✓	26.07.01	WIPO	C23C	14/14	
AP3	WO01/56502 ✓	09.08.01	WIPO	A61F	2/06	

### OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AR3 "Plasma Co-polymer Surfaces for the Controlled Adsorption of Common Proteins" AVS 46<sup>th</sup> International Symposium, Paper No. BI-FrM2 (October 29, 1999) ✓

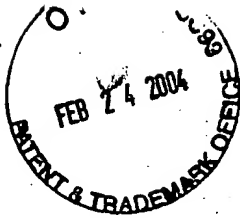
AS3 "Biofilm - Titanium Chemistry of Adhesion Using X-ray Photoelectron Spectroscopy" AVS 46<sup>th</sup> International Symposium, Paper No. BI-FrM10 ✓

AT3 "Nanoscale Patterning of Gold for Attachment of Supported Lipid Bilayers" AVS 46<sup>th</sup> International Symposium, Paper No. BI-FrM10 ✓

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(Information Disclosure Statement - Section 9 PTO-1449 (Modified) [6-1] -- page 10 of 21)



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ATTORNEY DOCKET NO: 6006-019  
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SERIAL NO: 09/745,304  
GROUP: 3731

#### U.S. PATENT DOCUMENTS

Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
	AA4	6,086,773 ✓	7/11/00	Dufresne, et al.	216/8	216/48
	AB4	5,630,840 ✓	5/20/97	Mayer	623/1	623/11
	AC4	5,955,588 ✓	9/21/99	Tsang, et al.	536/21	514/56
	AD4	5,968,091 ✓	10/19/99	Pinchuk, et al.	623/1	600/36
	AE4	5,962,138 ✓	10/5/99	Kolluri, et al.	428/411.1	428/407
	AF4	5,387,247 ✓	2/7/95	Vallana, et al.	623/2	623/12
	AG4	5,607,463 ✓	3/4/97	Schwartz, et al.	623/1	623/12
	AH4	6,106,642 ✓	8/22/00	DiCarlo, et al.	148/563	148/675
	AI4	5,891,507 ✓	4/6/99	Jayaraman	427/2.25	427/318
	AJ4	5,744,515 ✓	4/28/98	Clapper	523/113	523/114
	AK4	5,932,299 ✓	8/3/99	Katoot	427/508	427/385.5

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#### FOREIGN PATENT DOCUMENTS

Ref. Desig.	Document Number	Date	Country	Class	Subclass	Trans. Yes No
AL4						
AM4						
AN4						
AO4						
AP4						

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AR4 "Focused Ion Beam NonaFabrication", <http://www.glue.umd.edu/~astan/avs04.htm> ✓

AS4 "Amorphous Carbon and C:N Thin Films" <http://www.glue.umd.edu/~astan/avs01.htm> ✓

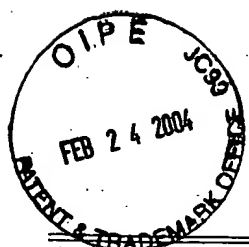
AT4 "Multilayer Ceramic/Metallic Coatings by Ion Beam-Assisted, Electron Beam Physical Vapor (EB-PVD) Deposition, Penn State Applied Research Laboratory, pp. 1-4 (1997) ✓

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Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
	AA5	5,683,453 ✓	11/4/97	Palmaz	623/1	623/12
	AB5	5,656,036 ✓	8/12/97	Palmaz	623/12	606/195
	AC5	5,938,697 ✓	8/17/99	Killion, et al.	623/1	623/12
	AD5	5,938,682 ✓	8/17/99	Hojeibane, et al.	606/198	623/1
	AE5	5,913,896 ✓	6/22/99	Boyle, et al.	623/1	623/11
	AF5	5,879,370 ✓	3/9/99	Fischell, et al.	606/198	623/1
	AG5	5,868,782 ✓	2/9/99	Frantzen	606/198	606/1
	AH5	5,843,117 ✓	12/1/98	Alt, et al.	606/194	623/1
	AI5	5,855,600 ✓	1/5/99	Alt	623/1	623/12
	AJ5	5,824,045 ✓	10/20/98	Alt	623/1	606/191
	AK5	5,843,117 ✓	12/1/98	Alt, et al.	606/194	623/1

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Ref. Desig.	Document Number	Date	Country	Class	Subclass	Trans. Yes No
AL5						
AM5						
AN5						
AO5						
AP5						

### OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AR5 "Benefits From Diamond-Like Coated Stainless Steel Stents", <http://www.phytis.com/stents0.htm>, pp. 1-2 ✓

AS5 "Adhesion of Bovine Serum Albumin on Coated DLC (Diamond-Like) and Uncoated (SiO<sub>2</sub> / TiO<sub>2</sub>) Sensor Chips", <http://www.phytis.com/stent4.htm>, pp. 1-2 ✓

AT5 "Flow Cytometric Investigation", <http://www.phytis.com/stent6.htm>, pp. 1-3 ✓

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GROUP: 3731

U.S. PATENT DOCUMENTS

Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
	AA6	5,780,807 ✓	7/14/98	Saunders	219/121	29/557
	AB6	5,607,445 ✓	3/4/97	Summers	606/198	623/1
	AC6	5,776,161 ✓	7/7/98	Globerman	606/194	606/192
	AD6	5,593,442 ✓	1/14/97	Klein	623/12	623/1
	AE6	5,569,295 ✓	10/29/96	Lam	606/198	606/195
	AF6	5,514,154 ✓	5/7/96	Lau, et al.	606/195	606/194
	AG6	5,895,406 ✓	4/20/99	Gray, et al.	606/198	623/1
	AH6	5,876,432 ✓	3/2/99	Lau, et al.	623/1	623/1
	AI6	6,015,429 ✓	1/18/00	Lau, et al.	623/1	623/12
	AJ6	5,919,225 ✓	7/6/99	Lau, et al.	623/1	623/12
	AK6	6,066,167 ✓	5/23/00	Lau, et al.	623/1	

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Ref. Desig.	Document Number	Date	Country	Class	Subclass	Trans. Yes No
AL6						
AM6						
AN6						
AO6						
AP6						

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AR6 "Pre-clinical and Clinical Evaluation", <http://www.phytis.com/stent2.htm>, pp. 1-2 ✓

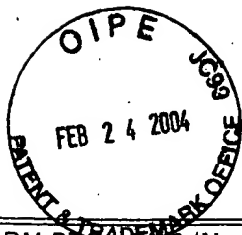
AS6 "The New Phytis Stent", <http://www.phytis.com/stent1.htm>, pp. 1-2 ✓

AT6 "Invulnerability and Resistance of DLC-Coating", <http://www.phytis.com/stent3.htm>, pp. 1-3 ✓

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	AA7	6,066,168 ✓	5/23/00	Lau, et al.	623/1	623/1.15
	AB7	6,056,776 ✓	5/2/00	Lau, et al.	623/1	623/12
	AC7	5,603,721 ✓	2/18/97	Lau, et al.	606/195	606/194
	AD7	6,059,808 ✓	5/9/00	Boussignac	606/191	606/194
	AE7	6,033,433 ✓	3/7/00	Ehr, et al.	623/1	623/12
	AF7	6,027,526 ✓	2/22/00	Limon, et al.	623/1	623/12
	AG7	6,022,370 ✓	2/8/00	Tower	606/194	606/195
	AH7	5,972,018 ✓	10/26/99	Israel, et al.	606/198	623/1
	AI7	6,066,169 ✓	5/23/00	McGuiness	623/1.16	
	AJ7	5,277,933 ✓	1/11/94	Claar, et al.	427/248	427/249
	AK7	5,855,955 ✓	1/5/99	Claar, et al.	427/248.1	427/249

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Ref. Desig.	Document Number	Date	Country	Class	Subclass	Trans. Yes No
AL7						
AM7						
AN7						
AO7						
AP7						

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AR7 "Material In Use and Its Biocompatibility", <http://www.phytis.com/stent5.htm>, pp. 1-2 ✓

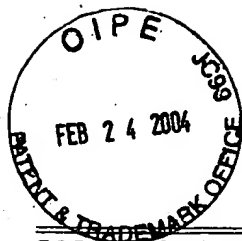
AS7 "Expertise Concerning the Implementation of the PHYTIS DIAMOND AS STENT Performed at the Institute for Experimental Medicine (IEM)", <http://www.phytis.com/stent9.htm>, pp. 1 ✓

AT7 "PHYTIS L.D.A. Home Page information", <http://www.phytis.com/content/htm>, pp. 1-15 ✓

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ATTORNEY DOCKET NO: 6006-019  
APPLICANT: Palmaz, et al.  
FILING DATE: 12/22/00  
SERIAL NO: 09/745,304  
GROUP: 3731

### U.S. PATENT DOCUMENTS

Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
	AA8	5,945,153 ✓	8/31/99	Dearnaley	427/2.12	427/527
	AB8	5,925,063 ✓	7/20/99	Khosravi	606/200	606/213
	AC8	5,061,914 ✓	10/29/91	Busch, et al.	337/140	60/527
	AD8	6,096,175 ✓	8/1/00	Roth	204/192	204/192.14
	AE8	5,907,893 ✓	6/1/99	Zadno-Azizi	29/6.1	29/412
	AF8	6,019,784 ✓	2/1/00	Hines	623/1	600/36
	AG8	5,545,210 ✓	8/13/98	Hess, et al.	623/1	623/11
	AH8	5,628,788 ✓	5/13/97	Pinchuk	623/1	623/12
	AI8	5,788,558 ✓	8/4/98	Klein	451/136	451/113
	AJ8	5,370,684 ✓	12/6/94	Vallana, et al.	623/1	623/11
	AK8	5,049,251 ✓	9/17/91	Inone	204/192	204/298

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### FOREIGN PATENT DOCUMENTS

Ref. Desig.	Document Number	Date	Country	Class	Subclass	Trans. Yes No
AL8						
AM8						
AN8						
AO8						
AP8						

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AR8 "Risk Analysis of Stents With a Diamond-Like Coated Surface For Use in Prosthetic Implants",  
<http://www.phytis.com/risk.htm>, pp. 1-6 ✓

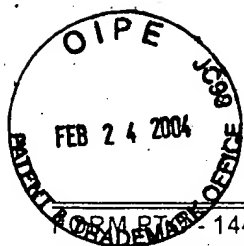
AS8 "Directions for Use, DIAMOND AS® Stent", <http://www.phytis.com/direcuse.htm>, pp. 1-8 ✓

AT8 "Stents: Literature", <http://www.phytis.com/liter.htm>, pp. 1-8 ✓

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### U.S. PATENT DOCUMENTS

Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
	AA9	5,133,845 ✓	7/28/92	Vallana, et al.	204/192	204/192.11
	AB9	5,421,955 ✓	6/6/95	Lau, et al.	216/48	156/244
	AC9	5,540,820 ✓	7/30/96	Terakado, et al.	204/192.3	204/192.15
	AD9	5,685,961 ✓	11/11/97	Pourrezaei, et al.	204/192	204/192.14
	AE9	5,843,289 ✓	12/1/98	Lee, et al.	204/192	204/192.32
	AF9	5,855,802 ✓	1/5/99	Acciai, et al.	216/8	216/56
	AG9	5,951,881 ✓	9/14/99	Rogers, et al.	216/41	216/8
	AH9	6,013,855 ○	1/11/00	McPherson	623/11	600/36
	AI9	2001/39449 ✓	11/8/01	Johnson, et al.	623	1.19
	AJ9	5,798,042 ○	8/25/98	Chu, et al.	210	490
	AK9	5,329,514 ○	7/12/94	Eguchi, et al.	369	126

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### FOREIGN PATENT DOCUMENTS

Ref. Desig.	Document Number	Date	Country	Class	Subclass	Trans. Yes No
AL9						
AM9						
AN9						
AO9						
AP9						

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AR9 "Vacuum Conditions for Sputtering Thin Film TiNi", Journal of Vacuum Science and Technology, JVST A Online, pp. 1-2 (Abstract view) ✓

AS9 "Oriented nickel-titanium shape memory alloy films prepared by annealing during deposition", by Kathleen Gisser, et al., Applied Physics Letters, Vol. 61, Issue 14, pp. 1632-1634 (Abstract view) ✓

AT9 "Relative importance of bombardment energy and intensity in ion plating", K.S. Fancey, et al., Journal of Vacuum Science & Technology A: Vacuum, Surfaces, and Films, Vol. 13, Issue 2, pp. 428-435 (Abstract view) March 1995 ✓

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U.S. PATENT DOCUMENTS

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	AB10	5,158,750	10/27/92 <input checked="" type="radio"/>	Finicle	422	102
	AC10	6,312,463	11/6/01 <input checked="" type="checkbox"/>	Rourke, et al.	623	1.39
	AD10					
	AE10					
	AF10					
	AG10					
	AH10					
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	AJ10					
	AK10					

FOREIGN PATENT DOCUMENTS

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AL10						
AM10						
AN10						
AO10						
AP10						

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AR10 "Thin Film Shape Memory Microvalves with Adjustable Operation Temperature" by Kohl, Dittmann, Quandt and Winzek, Sensors and Actuators, Vol 83, pp. 214-219, (2000) ☒

AS10 "Multicomponent Film Deposition by Target Biasing", IBM Technical Disclosure Bulletin, pp. 1-2 (July 1980) ☒

AT10 See added pages.

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ADDED PAGE

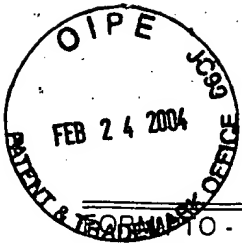
1. "The Effects of Ion Irradiation on NiTi Shape Memory Alloy Thin Films" by F. Goldberg and E. Knystautas, Proceedings of the Second International Conference on Shape Memory and Superelastic Technologies Asilomar Conference Center, Pacific Grove, California, USA, pp. 177-182 (1997) ✓
2. "Constitutive Parts of a Shape Memory Alloy Titanium Nickel Thin Film Catheter" by L. Buchailot, et al., Proceedings of the Second International Conference on Shape Memory and Superelastic Technologies Asilomar Conference Center, Pacific Grove, California, USA, pp. 183-188 (1997) ✓
3. "The Effect of HCD Technological Factors on the NiTi SMA Film Thickness" by Q. Pingshan, et al., Proceedings of the Second International Conference on Shape Memory and Superelastic Technologies Asilomar Conference Center, Pacific Grove, California, USA, pp. 173-176 (1997) ✓
4. "The Characteristics of NiTi HCD-Deposited SMA Films" by H. Weixin, et al., Proceedings of the Second International Conference on Shape Memory and Superelastic Technologies Asilomar Conference Center, Pacific Grove, California, USA, pp. 167-172 (1997) ✓
5. "Microstructure of Ti-Rich TiNi Thin Films" by A. Ishida, et al., Proceedings of the Second International Conference on Shape Memory and Superelastic Technologies Asilomar Conference Center, Pacific Grove, California, USA, pp. 161-166 (1997) ✓
6. "Thin Film Shape Memory Alloy Microactuators" by TiNi Alloy Company (online) ✓
7. "Progress in Thin Film Shape Memory Microactuators" by Johnson, et al., [www.sma-mems.com/recent.htm](http://www.sma-mems.com/recent.htm) (Overview), pp 1-5 ✓
8. "The influence of ion irradiation during film growth on the chemical stability of film/substrate systems" by W. Ensinger, Surface and Coatings Technology, Vol. 80, pp. 35-48 (1996) ✓
9. "Sputtering Targets High-Quality Thin Film Materials" by AMETEK Specialty Metal Products online at [www.ametek84.com/fd-sputtering.html](http://www.ametek84.com/fd-sputtering.html), pp. 1-3 ✓

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SERIAL NO: 09/745,304  
GROUP: 3731

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)  
ADDED PAGE

- ✓ 20. "Sputter-deposition of TiNi, TiNiPd and TiPd films displaying the two-way shape-memory effect" by E. Quandt, et al., Sensors and Actuators, A 53, pp. 434-439 (1996)
- ✓ 21. "Applications of Shape-Memory Alloy Thin Films" by A.D. Johnson and V.V. Martynov, Proceedings of the Second International Conference on Shape Memory and Superelastic Technologies Asilomar Conference Center, Pacific Grove, California, USA, pp. 1-8 (1997)

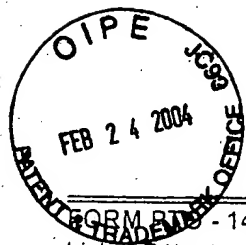
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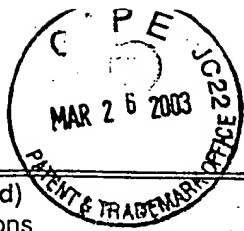
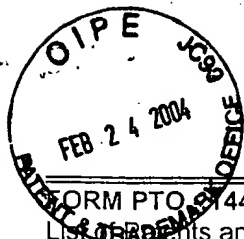
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)  
ADDED PAGE

- ✓ 10. "A Concise History of Vacuum Coating Technology, Part 2: 1940 to 1975" by D. Mattox, [www.svc.org/HistoryofVac2.html](http://www.svc.org/HistoryofVac2.html), pp 1-15
- ✓ 11. "Model Surfaces for Studying and Controlling the Adhesion of Cells" by M. Mrksich, AVS 47<sup>th</sup> International Symposium, Invited Paper No. BI+EL-TuA1 (October 3, 2000)
- ✓ 12. "Cell Response to Chemically and Topographically Modified Surfaces" by D.S. Sutherland, et al., AVS 47<sup>th</sup> International Symposium, Paper No. BI+EL-TuA3 (October 3, 2000)
- ✓ 13. "Tissue Formation of Hepatocytes on Micro-Porous Films of Polylactide" by T. Nishikawa, et al., AVS 47<sup>th</sup> International Symposium, Paper No. BI+EL-TuA10 (October 3, 2000)
- ✓ 14. "Endothelial Cell Organization on Micropatterned Protein Surfaces" by R. Daw, et al., AVS 47<sup>th</sup> International Symposium, Paper No. BI-WeP21 (October 4, 2000)
- ✓ 15. "The Nanomechanical Properties of Thin Films" by J.E. Houston, AVS 47<sup>th</sup> International Symposium, Paper No. TF-TuA1 (October 3, 2000)
- ✓ 16. "Anomalous Plastic and Elastic Behaviors of Sputter-deposited TiN with 10 or 20 Inserted Thin Al Layers Evaluated by Nanoindentation" by E. Kusano, et al., AVS 47<sup>th</sup> International Symposium, Paper No. TF-TuA3 (October 3, 2000)
- ✓ 17. "Recent Progress in the Application of Thin Film Shape Memory Alloys" by A.D. Johnson and J.D. Busch, Proceedings of the First International Conference on Shape Memory and Superelastic Technologies Asilomar Conference Center, Pacific Grove, California, USA, pp. 299-310 (1994)
- ✓ 18. "Shape Memory Properties in NiTi Sputter-deposited Film", by J.D. Busch and A.D. Johnson, J Appl. Phys., Vol. 68, No. 12, pp. 6224-6226 (December 15, 1990)
- ✓ 19. "Thin-film Processing of TiNi Shape Memory Alloy" by J.A. Waker and K.J. Gabriel, Sensors and Actuators, A21-A23, pp. 243-246 (1990)

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ATTORNEY DOCKET NO: 6006-015  
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## U.S. PATENT DOCUMENTS

Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
cm	AA	5,853,419	12/29/98	Imran	606	191
cm	AB	6,309,414	10/30/01	Rolando, et al.	623	1.15
cm	AC	2001/0032013	10/18/01	Marton	623	1.15
cm	AD	2002/0165600	11/7/02	Banas, et al.	623	1.11
cm	AE	2002/0042649	4/11/02	Schaldach, et al.	623	1.15
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## FOREIGN PATENT DOCUMENTS

Ref. Desig.	Document Number	Date	Country	Class	Subclass	Trans. Yes No
cm AL	199 37 638	5/17/01	Germany	A61F 2/04	A61M 29/00	
cm AM	2 777 771	10/29/99	France	A61F 2/06		
cm AN	01/35865	5/25/01	WIPO/PCT	A61F 2/06		
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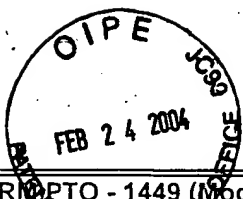
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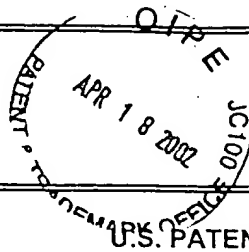
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Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
cm	AA1	5,824,056	10/20/056	Rosenberg	623/1	608/091
	AB1	5,849,206	12/15/98	Amon, et al.	216/63	216/37
	AC1	5,858,556	1/12/99	Eckert, et al.	428/586	428/662
	AD1	5,873,904	2/23/99	Ragheb, et al.	623/1	623/11
	AE1	5,725,573	3/10/98	Dearnaley, et al.	623/2	427/2.25
	AF1	5,605,714	2/25/97	Dearnaley, et al.	427/2.24	427/2.25
	AG1	4,846,834	7/11/89	von Recum, et al.	623/11	623/66
	AH1	5,984,905	11/16/99	Dearnaley, et al.	604/265	427/2.24
	AI1	4,751,099	6/14/88	Niino, et al.	427/34	427/423
	AJ1	4,510,182	4/9/85	Cornils, et al.	427/162	427,165
cm	AK1	5,242,710	9/7/93	Claar, et al.	427/248	427/249

FOREIGN PATENT DOCUMENTS

Ref. Desig.	Document Number	Date	Country	Class	Subclass	Trans. Yes No
cm	AL1	97/44692	11/27/97	WIPO	G02B 6/16	
cm	AM1	98/45506	10/15/98	WIPO	C25D 7/04 B23H	
cm	AN1	98/13537	4/2/98	WIPO	C25D 1/00 C23F 1/02	
cm	AO1	99/23977	5/20/99	WIPO	A61F 2/06	
cm	AP1	01/85064	11/15/01	WIPO	A61F 2/06	

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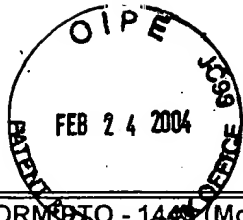
cm AR1 "Liquid Sources for Chemical Vapor Deposition of Group 6 Metals and Metal Nitrides" by Gordon, et al.  
[www.techtransfer.harvard.edu/cgi-bin/TALSearch.cgi?full\\_report=1&case=3](http://www.techtransfer.harvard.edu/cgi-bin/TALSearch.cgi?full_report=1&case=3), Case Number 1709

cm AS1 "Fabrication of Small-Scale Coils and Bands as Photomasks on Optical Fibers for Generation of In-Fiber Gratings, Electromagnets as Micro-NMR Coils, Microtransformers, and Intra-Vascular Stents"  
[www.techtransfer.harvard.edu/cgi-bin/TALSearch.cgi?full\\_report=1&case=72](http://www.techtransfer.harvard.edu/cgi-bin/TALSearch.cgi?full_report=1&case=72), Case Number 1263

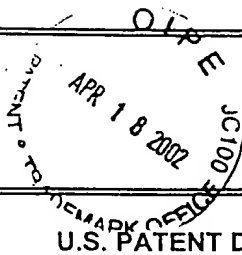
cm AT1 "Reactions of Biological Cells to Nanostructures", by Curtis, et al., AVS 46<sup>th</sup> International Symposium, Paper BI-WeM2 (October 27, 1999)

EXAMINER Chand Miller DATE CONSIDERED 7/14/03

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Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
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	AB2	5,723,219	3/3/98	Kolluri	428/411.1	428/407
	AC2	5,811,151	9/22/98	Hendricks, et al.	427/2.24	427/2.3
	AD2	5,866,113	2/2/99	Hendricks, et al.	424/78.17	424/78.18
	AE2	5,084,151	1/28/92	Vallana	204/192.11	204/192.14
	AF2	5,477,864	12/26/95	Davidson	128/771	
	AG2	5,607,463	3/4/97	Schwartz, et al.	623/1	623/12
	AH2	5,609,629	3/11/97	Fearnot, et al.	623/1	623/11
	AI2	5,647,858	7/15/97	Davidson	604/264	
	AJ2	6,327,772	12/11/01	Zadno-Azizi	29	557
cm	AK2	5,690,670	11/25/97	Davidson	606/198	606/191

FOREIGN PATENT DOCUMENTS

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cm	AM2	97/07257	2/27/97	WIPO	C23C	14/00	
cm	AN2	1452370	3/21/74	Germany	C21C	37/15	
cm	AO2	0 400 947	12/5/90	EPO	C23C	16/26	
cm	AP2	0 442 303	8/21/91	EPO	C23C	16/26	

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

cm AR2 "Biocompatibility of Cardiac Cells on Silane-Modified Surfaces" AVS 46<sup>th</sup> International Symposium, Paper BI-WeM5 (October 27, 1999)

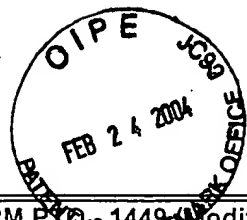
cm AS2 "Biofunctionalization of Surfaces with Peptide Amphiphiles" AVS 46<sup>th</sup> International Symposium, Paper No. BI-WeM7 (October 27, 1999)

cm AT2 "Plasma Copolymer Surfaces for Cell Culture" AVS 46<sup>th</sup> International Symposium, Paper No. Paper BI-WeM9 (October 27, 1999)

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FORM PTO-1449 (Modified)  
List of Patents and Publications  
For Applicant's Information  
Disclosure Statement  
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U.S. PATENT DOCUMENTS

Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
cm	AA3	5,735,896	4/7/98	Amon, et al.	623/11	623/1
	AB3	5,765,418	6/16/98	Rosenberg	72/47	72/42
	AC3	5,772,864	6/30/98	Moller, et al.	205/73	205/75
	AD3	5,782,910	7/21/98	Davidson	623/3	
	AE3	5,824,049	10/20/98	Ragheb	623/1	623/11
	AF3	5,728,158	3/17/98	Lau, et al.	623/12	606/194
	AG3	5,840,009	11/24/98	Fischell, et al.	600/3	
	AH3	5,728,908	7/21/98	Cahalan, et al.	623/1	623/11
	AI3	6,042,597	3/28/00	Kveen, et al.	606/198	623/1
	AJ3	6,071,305	6/6/00	Brown, et al.	623/1	623/12
cm	AK3	5,972,027	10/26/99	Johnson	623/1	623/12

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FOREIGN PATENT DOCUMENTS

Ref. Desig.	Document Number	Date	Country	Class	Subclass	Trans. Yes No
cm AL3	10072319	10/5/99	Japan	B01D	59/34	
cm AM3	51055724	5/17/76	Japan	A61C	013/00	
cm AN3	01/56502	8/9/01	WIPO	A61F	2/06	
cm AO3	01/53559	7/26/01	WIPO	C23C	14/14	
cm AP3	99/62432	12/9/99	WIPO	A61F	2/06	

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

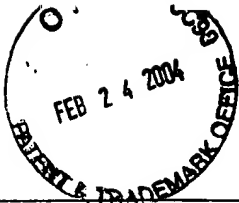
cm AR3 "Plasma Co-polymer Surfaces for the Controlled Adsorption of Common Proteins" AVS 46<sup>th</sup> International Symposium, Paper No. BI-FrM2 (October 29, 1999).

cm AS3 "Biofilm - Titanium Chemistry of Adhesion Using X-ray Photoelectron Spectroscopy" AVS 46<sup>th</sup> International Symposium, Paper No. BI-FrM10

cm AT3 "Nanoscale Patterning of Gold for Attachment of Supported Lipid Bilayers" AVS 46<sup>th</sup> International Symposium, Paper No. BI-FrM10

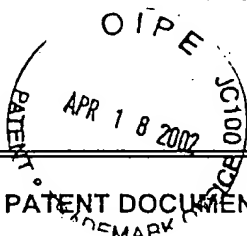
EXAMINER Chand Miller DATE CONSIDERED 7/14/03

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ATTORNEY DOCKET NO: 6006-015  
APPLICANT: Palmaz, et al.  
FILING DATE: 11/7/00  
SERIAL NO: 09/707 685  
GROUP: 3738



U.S. PATENT DOCUMENTS

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Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
cm	AA4	6,086,773	7/11/00	Dufresne, et al.	216/8	216/48
	AB4	5,630,840	5/20/97	Mayer	623/1	623/11
	AC4	5,955,588	9/21/99	Tsang, et al.	536/21	514/56
	AD4	5,968,091	10/19/99	Pinchuk, et al.	623/1	600/36
	AE4	5,962,138	10/5/99	Kolluri, et al.	428/411.1	428/407
	AF4	5,387,247	2/7/95	Vallana, et al.	623/2	623/12
	AG4	5,607,463	3/4/97	Schwartz, et al.	623/1	623/12
	AH4	6,106,642	8/22/00	DiCarlo, et al.	148/563	148/675
	AI4	5,891,507	4/6/99	Jayaraman	427/2.25	427/318
	AJ4	5,744,515	4/28/98	Clapper	523/113	523/114
	AK4	5,932,299	8/3/99	Katoot	427/508	427/385.5

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Ref. Desig.	Document Number	Date	Country	Class	Subclass	Trans. Yes No
cm AL4	99/16385	4/8/99	WIPO	A61F	2/06	
cm AM4	00/54704	9/21/00	WIPO	A61F	2/06	
cm AN4	00/55181	9/21/00	WIPO	C07K	1/00	
cm AO4	01/91918	12/6/01	WIPO	B05C	5/02	
cm AP4	2110606	5/10/98	Russian	C23C	14/34	

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

cm AR4 "Focused Ion Beam Non-Fabrication", <http://www.glue.umd.edu/~astan/avs04.htm>

cm AS4 "Amorphous Carbon and C:N Thin Films" <http://www.glue.umd.edu/~astan/avs01.htm>

cm AT4 "Multilayer Ceramic/Metallic Coatings by Ion Beam-Assisted, Electron Beam Physical Vapor (EB-PVD) Deposition, Penn State Applied Research Laboratory, pp. 1-4 (1997)

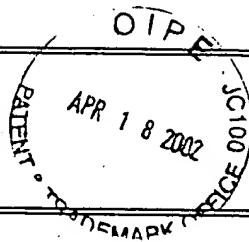
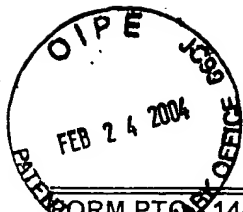
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SERIAL NO: 09/707,685  
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Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
cm	AA5	5,683,453	11/4/97	Palmaz	623/1	623/12
	AB5	5,656,036	8/12/97	Palmaz	623/12	606/195
	AC5	5,938,697	8/17/99	Killion, et al.	623/1	623/12
	AD5	5,938,682	8/17/99	Hojeibane, et al.	606/198	623/1
	AE5	5,913,896	6/22/99	Boyle, et al.	623/1	623/11
	AF5	5,879,370	3/9/99	Fischell, et al.	606/198	623/1
	AG5	5,868,782	2/9/99	Frantzen	606/198	606/1
	AH5	5,843,117	12/1/98	Alt, et al.	606/194	623/1
	AI5	5,855,600	1/5/99	Alt	623/1	623/12
	AJ5	5,824,045	10/20/98	Alt	623/1	606/191
	AK5	5,843,117	12/1/98	Alt, et al.	606/194	623/1

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FOREIGN PATENT DOCUMENTS

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AL5						
AM5						
AN5						
AO5						
AP5						

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

cm AR5 "Benefits From Diamond-Like Coated Stainless Steel Stents", <http://www.phytis.com/stents0.htm>, pp. 1-2

cm AS5 "Adhesion of Bovine Serus Albumin on Coated DLC (Diamond-Like) and Uncoated (SiO<sub>2</sub> / TiO<sub>2</sub>) Sensor Chips", <http://www.phytis.com/stent4.htm>, pp. 1-2

cm AT5 "Flow Cytometric Investigation", <http://www.phytis.com/stent6.htm>, pp. 1-3

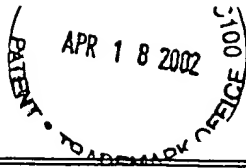
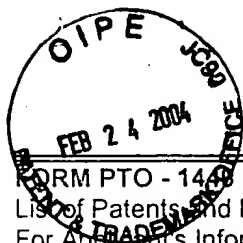
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Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
CM	AA6	5,780,807	7/14/98	Saunders	219/121	29/55
	AB6	5,607,445	3/4/97	Summers	606/198	623/1
	AC6	5,776,161	7/7/98	Globerman	606/194	606/192
	AD6	5,593,442	1/14/97	Klein	623/12	623/1
	AE6	5,569,295	10/29/96	Lam	606/198	606/195
	AF6	5,514,154	5/7/96	Lau, et al.	606/195	606/194
	AG6	5,895,406	4/20/99	Gray, et al.	606/198	623/1
	AH6	5,876,432	3/2/99	Lau, et al.	623/1	623/12
	AI6	6,015,429	1/18/00	Lau, et al.	623/1	623/12
	AJ6	5,919,225	7/6/99	Lau, et al.	623/1	623/12
CM	AK6	6,066,167	5/23/00	Lau, et al.	623/1	

FOREIGN PATENT DOCUMENTS

Ref. Desig.	Document Number	Date	Country	Class	Subclass	Trans. Yes No
AL6						
AM6						
AN6						
AO6						
AP6						

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

- CM AR6 "Pre-clinical and Clinical Evaluation", <http://www.phytis.com/stent2.htm>, pp. 1-2
- CM AS6 "The New Phytis Stent", <http://www.phytis.com/stent1.htm>, pp. 1-2
- CM AT6 "Invulnerability and Resistance of DLC-Coating", <http://www.phytis.com/stent3.htm>, pp. 1-3

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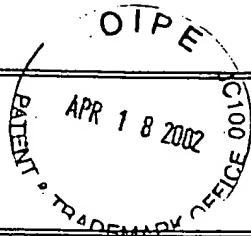
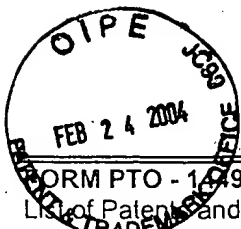
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Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
cm	AA7	6,066,168	5/23/00	Lau, et al.	623/1	623/1.16
	AB7	6,056,776	5/2/00	Lau, et al.	623/1	623/12
	AC7	5,603,721	2/18/97	Lau, et al.	606/195	606/194
	AD7	6,059,808	5/9/00	Boussignac	606/191	606/194
	AE7	6,033,433	3/7/00	Ehr, et al.	623/1	623/12
	AF7	6,027,526	2/22/00	Limon, et al.	623/1	623/12
	AG7	6,022,370	2/8/00	Tower	606/194	606/195
	AH7	5,972,018	10/26/99	Israel, et al.	606/198	623/1
	AI7	6,066,169	5/23/00	McGuiness	623/1.16	
	AJ7	5,277,933	1/11/94	Claar, et al.	427/248	427/249
cm	AK7	5,855,955	1/5/99	Claar, et al.	427/248.1	427/249

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Ref. Desig.	Document Number	Date	Country	Class	Subclass	Trans. Yes No
AL7						
AM7						
AN7						
AO7						
AP7						

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

cm AR7 "Material In Use and Its Biocompatibility", <http://www.phytis.com/stent5.htm>, pp. 1-2

cm AS7 "Expertise Concerning the Implementation of the PHYTIS DIAMOND AS STENT Performed at the Institute for Experimental Medicine (IEM)", <http://www.phytis.com/stent9.htm>, pp. 1

cm AT7 "PHYTIS L.D.A. Home Page information", <http://www.phytis.com/content/htm>, pp. 1-15

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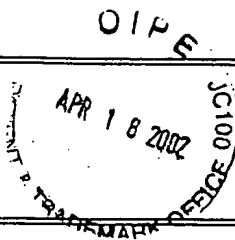
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### U.S. PATENT DOCUMENTS

Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
CM	AA8	5,945,153	8/31/99	Dearnaley	427/2.12	427/527
	AB8	5,925,063	7/20/99	Khosravi	606/200	606/213
	AC8	5,061,914	10/29/91	Busch, et al.	337/140	60/527
	AD8	6,096,175	8/1/00	Roth	204/192	204/192.4
	AE8	5,907,893	6/1/99	Zadno-Azizi	29/6.1	29/412
	AF8	6,019,784	2/1/00	Hines	623/1	600/36
	AG8	5,545,210	8/13/98	Hess, et al.	623/1	623/11
	AH8	5,628,788	5/13/97	Pinchuk	623/1	623/12
	AI8	5,788,558	8/4/98	Klein	451/136	451/113
	AJ8	5,370,684	12/6/94	Vallana, et al.	623/1	623/11
	AK8	5,049,251	9/17/91	Inone	204/192	204/298

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### FOREIGN PATENT DOCUMENTS

Ref. Desig.	Document Number	Date	Country	Class	Subclass	Trans. Yes No
AL8						
AM8						
AN8						
AO8						
AP8						

### OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

CM AR8 "Risk Analysis of Stents With a Diamond-Like Coated Surface For Use in Prosthetic Implants", <http://www.phytis.com/risk.htm>, pp. 1-6

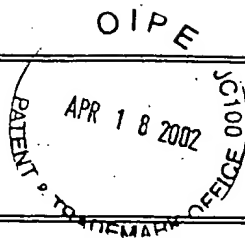
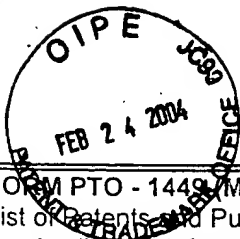
CM AS8 "Directions for Use, DIAMOND AS® Stent", <http://www.phytis.com/direcuse.htm>, pp. 1-8

CM AT8 "Stents: Literature", <http://www.phytis.com/liter.htm>, pp. 1-8

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### U.S. PATENT DOCUMENTS

Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
cm	AA9	5,133,845	7/28/92	Vallana, et al.	204/192	204/192.11
	AB9	5,421,955	6/6/95	Lau, et al.	216/48	156/244
	AC9	5,540,820	7/30/96	Terakado, et al.	204/192.3	204/192.15
	AD9	5,685,961	11/11/97	Pourrezaei, et al.	204/192	204/192.32
	AE9	5,843,289	12/1/98	Lee, et al.	204/192	204/192.32
	AF9	5,855,802	1/5/99	Acciai, et al.	216/8	216/56
	AG9	5,951,881	9/14/99	Rogers, et al.	216/41	216/8
	AH9	2001/0037147	11/1/01	Lau, et al.	623	1.16
	AI9	6,287,277	9/11/01	Yan	604	96.01
	AJ9	6,315,794	11/13/01	Richter	623	134
	AK9	2001/0011158	8/2/01	Howland	600	585

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AM9						
AN9						
AO9						
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### OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

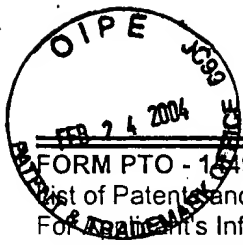
cm AR9 "Vacuum Conditions for Sputtering Thin Film TiNi", Journal of Vacuum Science and Technology, JVST A Online, pp. 1-2 (Abstract view)

cm AS9 "Oriented nickel-titanium shape memory alloy films prepared by annealing during deposition", by Kathleen Gisser, et al., Applied Physics Letters, Vol. 61, Issue 14, pp. 1632-1634 (Abstract view)

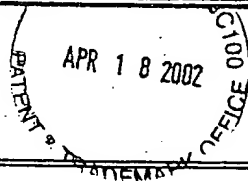
cm AT9 "Relative importance of bombardment energy and intensity in ion plating", K.S. Fancey, et al., Journal of Vacuum Science & Technology A: Vacuum, Surfaces and Films, Vol. 13, Issue 2, pp. 428-435 (Abstract view) March 1995

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## U.S. PATENT DOCUMENTS

Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
AM	AA10	6,312,463	11/6/01	Rourke, et al.	623	1.39
	AB10	2001/0039449	11/8/01	Johnson, et al.	623	1.19
	AC10	2001/0037146	11/1/01	Lau, et al.	623	1.16
	AD10	2001/0047201	11/29/01	Cox, et al.	623	1.16
	AE10	2001/0047200	11/29/01	White, et al.	623	1.15
	AF10	2001/0021570	9/13/01	Lin, et al.	438	455
	AG10	6,312,456	11/6/01	Kranz, et al.	623	1.13
	AH10	6,103,320	8/15/00	Matsumoto, et al.	427	535
	AI10	6,016,693	1/25/00	Viani, et al.	73	105
	AJ10	6,007,573	12/28/99	Wallace, et al.	623	1
AM	AK10	5,972,018	10/26/99	Israel, et al.	606	198

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## FOREIGN PATENT DOCUMENTS

Ref. Desig.	Document Number	Date	Country	Class	Subclass	Trans. Yes No
AL10						
AM10						
AN10						
AO10						
AP10						

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AM AR10 "Role of Bio-Physiochemical Parameters in Cell Adhesion and Rolling-Simulation Analysis" by A. Alshorman, T. David and P. Walker, BED, Vol. 50, PP. 209-210 (2001)

AM AS10 "Microstructure of Ti-Rich TiNi Thin Films" by A. Ishida, et al., Proceedings of the Second International Conference on Shape Memory and Superelastic Technologies Asilomar Conference Center, Pacific Grove, California, USA, pp. 161-166 (1997)

AM AT10 "Thin Film Shape Memory Microvalves with Adjustable Operation Temperature" by M. Kohl, D. Kittmann, E. Quandt, and B. Winzek, Sensors and Actuators, Vol. 83, pp. 214-219 (2000)

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CM	AA11	5,954,724	9/21/99	Davidson	606	76
	AB11	5,932,036	8/3/99	Fukai	148	670
	AC11	5,733,303	3/31/98	Israel, et al.	606	198
	AD11	5,728,150	3/17/98	McDonald, et al.	623	1
	AE11	5,482,574	1/9/96	Goldstein	148	517
	AF11	5,508,116	4/16/96	Barrett	428	567
	AG11	5,578,149	11/26/96	DeScheerder	148	563
	AH11	5,597,378	1/28/97	Jervis	606	78
	AI11	5,597,458	1/18/97	Sanchez, Jr.	204	192.3
	AJ11	5,624,508	4/29/97	Flomenblit, et al.	148	510
CM	AK11	5,635,144	6/3/97	Akluft	422	186.05

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### FOREIGN PATENT DOCUMENTS

Ref. Desig.	Document Number	Date	Country	Class	Subclass	Trans. Yes No
AL11						
AM11						
AN11						
AO11						
AP11						

### OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

CM AR11 "A Temperature-Controlling Device for Refrigerators" by M.C. Shin, K.K. Jee and B.C. Ku, Proceedings of the First International Conference on Shape Memory and Superelastic Technologies, pp 305-310 (1994)

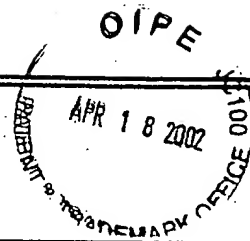
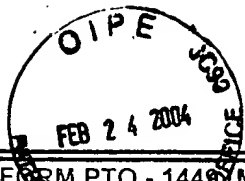
CM AS11 "Multicomponent Film Deposition by Target Biasing", IBM Technical Disclosure Bulletin, pp. 1-2 (July 1980)

CM AT11 "Applications of Shape-Memory Alloy Thin Films" by A.D. Johnson and V.V. Martynov, Proceedings of the Second International Conference on Shape Memory and Superelastic Technologies Asilomar Conference Center, Pacific Grove, California, USA, pp. 1-8 (1997)

EXAMINER Cheng M. Wu DATE CONSIDERED

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ATTORNEY DOCKET NO: 6006-015  
APPLICANT: Palmaz, et al.  
FILING DATE: 11/7/00  
SERIAL NO: 09/707,685  
GROUP: 3738

### U.S. PATENT DOCUMENTS

Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
CM	AA12	6,274,014	8/14/01	Matsumoto, et al.	204	298.11
	AB12	6,284,316	9/4/01	Sandhu, et al.	427	255.391
	AC12	6,287,430	9/11/01	Matsumoto, et al.	204	192.26
	AD12	4,665,906	5/19/87	Jervis	128	92
	AE12	5,190,546	3/2/93	Jervis	606	78
	AF12	5,358,615	10/25/94	Grant, et al.	204	192.15
	AG12	6,248,401	6/19/01	Chiang, et al.	427	255.7
	AH12	6,253,441	7/3/01	Wheat, et al.	29	527.2
	AI12	6,245,104	6/12/01	Alt	623	1.46
	AJ12	2001/0003146	6/7/01	Jalisi, et al.	600	585
	AK12	6,238,491	5/29/01	Davidson, et al.	148	237

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### FOREIGN PATENT DOCUMENTS

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AL12						
AM12						
AN12						
AO12						
AP12						

### OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

CM AR12 "Sputter-deposition of TiNi, TiNiPd and TiPd films displaying the two-way shape-memory effect" by E. Quandt, et al., Sensors and Actuators, A 53, pp. 434-439 (1996)

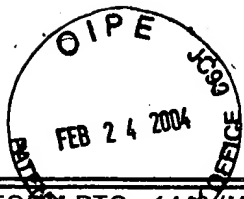
CM AS12 "Thin-film Processing of TiNi Shape Memory Alloy" by J.A. Waker and K.J. Gabriel, Sensors and Actuators, A21-A23, pp. 243-246 (1990)

CM AT12 "Shape Memory Properties in NiTi Sputter-deposited Film", by J.D. Busch and A.D. Johnson, J Appl. Phys., Vol. 68, No. 12, pp. 6224-6226 (December 15, 1990)

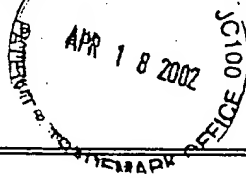
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## U.S. PATENT DOCUMENTS

Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
cm	AA13	2001/0055654	12/27/01	Halpern	427	600
	AB13	2001/0055647	12/27/01	Tamura, et al.	427	177
	AC13	6,306,276	10/23/01	Nobe, et al.	205	238
	AD13	6,306,141	10/23/01	Jervis	606	78
	AE13	6,299,755	10/9/01	Richter	205	651
	AF13	6,299,604	10/9/01	Ragheb, et al.	604	265
	AG13	6,293,966	9/25/01	Frantzen	623	1.15
	AH13	6,290,720	9/18/01	Khosravi, et al.	623	1.13
	AI13	6,231,923	5/15/01	Teverovsky, et al.	427	248.1
	AJ13	6,217,952	4/17/01	Sugiyama, et al.	427	577
	AK13	6,207,536	3/27/01	Matsumoto, et al.	438	478

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## FOREIGN PATENT DOCUMENTS

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AL13						
AM13						
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AO13						
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cm AR13 "Recent Progress in the Application of Thin Film Shape Memory Alloys" by A.D. Johnson and J.D. Busch, Proceedings of the First International Conference on Shape Memory and Superelastic Technologies Asilomar Conference Center, Pacific Grove, California, USA, pp. 299-310 (1994)

cm AS13 "Anomalous Plastic and Elastic Behaviors of Sputter-deposited TiN with 10 or 20 Inserted Thin A1 Layers Evaluated by Nanoindentation" by E. Kusano, et al., AVS 47<sup>th</sup> International Symposium, Paper No. TF-TuA3 (October 3, 2000)

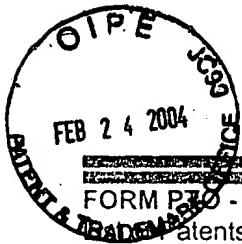
cm AT13 "The Nanomechanical Properties of Thin Films" by J.E. Houston, AVS 47<sup>th</sup> International Symposium, Paper No. TF-TuA1 (October 3, 2000)

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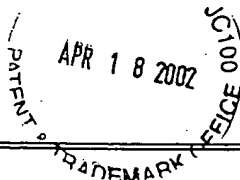
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## U.S. PATENT DOCUMENTS

Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
CM	AA14	6,203,505	3/20/01	Jalisi, et al.	600	585
	AB14	6,202,304	3/20/01	Shatz	29	896.6
	AC14	2001/0000043	3/15/01	Israel, et al.	606	198
	AD14	6,194,088	2/27/01	Yoshida, et al.	428	660
	AE14	6,190,407	2/20/01	Ogle, et al.	623	1.51
	AF14	6,190,404	2/20/01	Palmaz, et al.	623	1.51
	AG14	6,173,672	1/19/01	Shepard, Jr.	118	723
	AH14	6,156,373	12/5/00	Zhong, et al.	427	2028
	AI14	H1,924	12/5/00	Zabinski, et al.	204	192.16
	AJ14	6,156,052	12/5/00	Richter, et al.	606	191
	AK14	6,149,742	11/21/00	Carpenter, et al.	148	563

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## FOREIGN PATENT DOCUMENTS

Ref. Desig.	Document Number	Date	Country	Class	Subclass	Trans. Yes No
AL14						
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CM AR14 "Endothelial Cell Organization on Micropatterned Protein Surfaces" by R. Daw, et al., AVS 47<sup>th</sup> International Symposium, Paper No. BI-WeP21 (October 4, 2000)

CM AS14 "Tissue Formation of Hepatocytes on Micro-Porous Films of Polylactide" by T. Nishikawa, et al., AVS 47<sup>th</sup> International Symposium, Paper No. BI+EL-TuA10 (October 3, 2000)

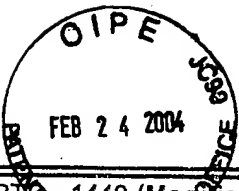
CM AT14 "Cell Response to Chemically and Topographically Modified Surfaces" by D.S. Sutherland, et al., AVS 47<sup>th</sup> International Symposium, Paper No. BI+EL-TuA3 (October 3, 2000)

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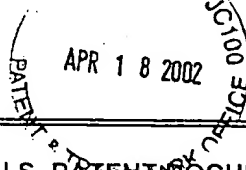
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SERIAL NO: 09/707,685  
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U.S. PATENT DOCUMENTS

Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
cm	AA15	6,261,320	7/17/320	Tam, et al.	623	1.15
	AB15	6,264,595	7/24/01	Defino, et al.	600	1
	AC15	2001/0009169	7/26/01	Kajiwara, et al.	148	563
	AD15	2001/0009220	7/26/01	Mizuno, et al.	427	569
	AE15	6,267,782	7/31/01	Ogle, et al.	623	1.1
	AF15	6,267,867	7/31/01	Olson	205	640
	AG15	6,258,417	7/10/01	Goswami, et al.	427	452
	AH15	6,258,182	7/10/01	Schetky, et al.	148	402
	AI15	6,258,121	7/10/01	Yang, et al.	623	1.46
	AJ15	6,264,598	7/24/01	Armini	600	3
	AK15	6,113,705	9/5/00	Ohashi, et al.	118	730

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AL15						
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AP15						

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cm AR15 "Model Surfaces for Studying and Controlling the Adhesion of Cells" by M. Mrksich, AVS 47<sup>th</sup> International Symposium, Invited Paper No. BI+EL-TuA1 (October 3, 2000)

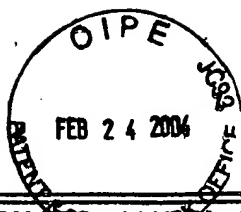
cm AS15 "A Concise History of Vacuum Coating Technology, Part 2: 1940 to 1975" by D. Mattox, [www.svc.org/HistoryofVac2.html](http://www.svc.org/HistoryofVac2.html), pp 1-15

cm AT15 "Sputtering Targets High-Quality Thin Film Materials" by AMETEK Specialty Metal Products online at [www.ametek84.com/fd-sputtering.html](http://www.ametek84.com/fd-sputtering.html), pp. 1-3

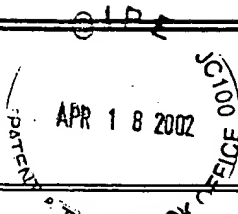
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U.S. PATENT DOCUMENTS

Examiner's Initials	Ref. Desig.	Document Number	Date	Name	Class	Subclass
cm	AA16	6,136,159	10/24/00	Buckfeller, et al.	204	192.12
	AB16	6,126,793	10/3/00	Sugiyama, et al.	204	192.23
	AC16	6,126,761	10/3/00	DeHaven, et al.	148	518
	AD16	6,120,847	9/19/00	Yang, et al.	427	335
	AE16	6,120,536	9/19/00	Ding, et al.	623	1.43
	AF16	6,113,982	9/5/00	Claar, et al.	427	248.1
	AG16	6,264,687	7/24/01	Tomonto	623	1.16
	AH16	5,843,120	12/1/98	Israel, et al.	606	198
	AI16					
	AJ16					
	AK16					

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FOREIGN PATENT DOCUMENTS

Ref. Desig.	Document Number	Date	Country	Class	Subclass	Trans. Yes No
AL16						
AM16						
AN16						
AO16						
AP16						

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

cm AR16 "The influence of ion irradiation during film growth on the chemical stability of film/substrate systems" by W. Ensinger, Surface and Coatings Technology, Vol. 80, pp. 35-48 (1996)

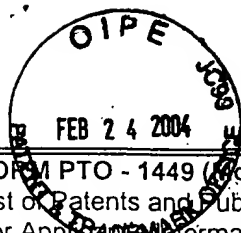
cm AS16 "Progress in Thin Film Shape Memory Microactuators" by Johnson, et al., [www.sma-mems.com/recent.htm](http://www.sma-mems.com/recent.htm) (Overview), pp 1-5

cm AT16 "Thin Film Shape Memory Alloy Microactuators" by TiNi Alloy Company (online)

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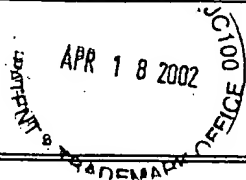
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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)  
ADDED PAGE

- CM 1. "The Effects of Ion Irradiation on NiTi Shape Memory Alloy Thin Films" by F. Goldberg and E. Knystautas, Proceedings of the Second International Conference on Shape Memory and Superelastic Technologies Asilomar Conference Center, Pacific Grove, California, USA, pp. 177-182 (1997)
- CM 2. "Constitutive Parts of a Shape Memory Alloy Titanium Nickel Thin Film Catheter" by L. Buchailot, et al., Proceedings of the Second International Conference on Shape Memory and Superelastic Technologies Asilomar Conference Center, Pacific Grove, California, USA, pp. 183-188 (1997)
- CM 3. "The Effect of HCD Technological Factors on the NiTi SMA Film Thickness" by Q. Pingshan, et al., Proceedings of the Second International Conference on Shape Memory and Superelastic Technologies Asilomar Conference Center, Pacific Grove, California, USA, pp. 173-176 (1997)
- CM 4. "The Characteristics of NiTi HCD-Deposited SMA Films" by H. Weixin, et al., Proceedings of the Second International Conference on Shape Memory and Superelastic Technologies Asilomar Conference Center, Pacific Grove, California, USA, pp. 167-172 (1997)

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